

Securities and Exchange Commission

§ 274.402

§ 274.219 Form N-17f-1, cover page for each certificate of accounting of securities and similar investments of a management investment company in the custody of a member of a national securities exchange, filed pursuant to rule 17f-1.

[54 FR 32049, Aug. 4, 1989]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-17f-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.220 Form N-17f-2, cover page for each certificate of accounting of securities and similar investments in the custody of a registered management investment company, filed pursuant to rule 17f-2.

[54 FR 32049, Aug. 4, 1989]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-17f-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.221 Form N-23c-3, Notification of repurchase offer.

Form N-23c-3 shall be filed with copies of notifications of repurchase offers submitted to the Commission as required under rule 23c-3 (§270.23c-3 of this chapter).

[58 FR 19345, Apr. 14, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-23c-3, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

Subpart D—Forms for Exemptions

AUTHORITY: Secs. 6(c), (15 U.S.C. 80a-6(c)), 6(e), (15 U.S.C. 80a-6(e)), 38(a), 15 U.S.C. 80a-37(a) of the Act.

§ 274.301 Notification of claim of exemption pursuant to Rule 6e-2 or Rule 6e-3(T) under the Investment Company Act.

This form shall be filed with the Commission as required by §270.6e-2 or §270.6e-3(T) of this chapter by each insurance company with respect to each separate account for which exemption

is claimed pursuant to §270.6e-2 or §270.6e-3(T).

[49 FR 47228, Dec. 3, 1984]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-6EI-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.302 Form N-27I-1, notice of right of withdrawal and refund for variable life insurance contractholders required pursuant to Rule 6e-2 (§ 270.6e-2 of this chapter).

[41 FR 47032, Oct. 27, 1976]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-27I-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.303 Form N-27I-2, notice of withdrawal right and statement of charges for variable life insurance contractholders required pursuant to Rule 6e-2 (§ 270.6e-2 of this chapter).

[41 FR 47032, Oct. 27, 1976]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-27I-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

Subpart E—Forms for Electronic Filing

SOURCE: 50 FR 40485, Oct. 4, 1985, unless otherwise noted.

§ 274.401 [Reserved]

§ 274.402 Form ID, uniform application for access codes to file on EDGAR.

Form ID must be filed by registrants, third party filers, or their agents, to whom the Commission previously has not assigned a Central Index Key (CIK) code, to request the following access codes to permit filing on EDGAR:

(a) Central Index Key (CIK)—uniquely identifies each filer, filing agent, and training agent.

(b) CIK Confirmation Code (CCC)—used in the header of a filing in conjunction with the CIK of the filer to ensure that the filing has been authorized by the filer.

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(c) Password (PW)—allows a filer, filing agent or training agent to log on to the EDGAR system, submit filings, and change its CCC.

(d) Password Modification Authorization Code (PMAC)—allows a filer, filing agent or training agent to change its Password.

[69 FR 22711, Apr. 26, 2004]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ID, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.403 Form SE, form for submission of paper format exhibits by electronic filers.

This form shall be used by an electronic filer for the submission of any paper format document relating to an otherwise electronic filing, as provided in rule 311 of Regulation S-T (§232.311 of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SE, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.404 Form TH—Notification of reliance on temporary hardship exemption.

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by rule 201(a) of Regulation S-T (§232.201(a) of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TH, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

PART 275—RULES AND REGULATIONS, INVESTMENT ADVISERS ACT OF 1940

Sec.

275.0-2 General procedures for serving non-residents.

275.0-3 References to rules and regulations.

275.0-4 General requirements of papers and applications.

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275.0-5 Procedure with respect to applications and other matters.

275.0-6 Incorporation by reference in applications.

275.0-7 Small entities under the Investment Advisers Act for purposes of the Regulatory Flexibility Act.

275.202(a)(1)-1 Certain transactions not deemed assignments.

275.202(a)(11)-1 Certain broker-dealers.

275.203-1 Application for investment adviser registration.

275.203-2 Withdrawal from investment adviser registration.

275.203-3 Hardship exemptions.

275.203(b)(3)-1 Definition of “client” of an investment adviser.

275.203(b)(3)-2 Methods for counting clients in certain private funds.

275.203A-1 Eligibility for SEC registration; switching to or from SEC registration.

275.203A-2 Exemptions from prohibition on Commission registration.

275.203A-3 Definitions.

275.203A-4 Investment advisers registered with a State securities commission.

275.203A-5—275.203A-6 [Reserved]

275.204-1 Amendments to application for registration.

275.204-2 Books and records to be maintained by investment advisers.

275.204-3 Written disclosure statements.

275.204-4—275.205-5 [Reserved]

275.204A-1 Investment adviser codes of ethics.

275.205-1 Definition of “investment performance” of an investment company and “investment record” of an appropriate index of securities prices.

275.205-2 Definition of “specified period” over which the asset value of the company or fund under management is averaged.

275.205-3 Exemption from the compensation prohibition of section 205(a)(1) for investment advisers.

275.206 (3)-1 Exemption of investment advisers registered as broker-dealers in connection with the provision of certain investment advisory services.

275.206(3)-2 Agency cross transactions for advisory clients.

275.206(4)-1 Advertisements by investment advisers.

275.206(4)-2 Custody of funds or securities of clients by investment advisers.

275.206(4)-3 Cash payments for client solicitations.

275.206(4)-4 Financial and disciplinary information that investment advisers must disclose to clients.

275.206(4)-6 Proxy voting.

275.206(4)-7 Compliance procedures and practices.

275.222-1 Definitions.

275.222-2 Definition of “client” for purposes of the national de minimis standard.